

Performance Pay Program

March 12, 2002

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Colorado Historical Society Performance Pay Program

I. **Overview**

The Colorado Historical Society (CHS) Performance Pay Program (PPP) establishes the framework for implementing performance-based pay for CHS classified and nonclassified employees. The PPP aligns with the goal of Colorado state government to shift toward a work culture that rewards excellence in performance. The PPP has both quantifiable and qualitative components, and may therefore, incorporate both objective and subjective evaluation criteria. All evaluation ratings will be assigned to one of the four established rating levels.

NOTE: Most of this document applies to classified staff. CHS is in the process of revising the PPP to clearly delineate the applicability to classified and nonclassified staff.

II. **Definitions**

Performance Management:

An ongoing communication process that involves both the supervisor and the employee in:

- * identifying and describing essential job functions and relating them to the mission and goals of the Society
- * developing realistic and appropriate performance standards with specific examples as support
- * giving and receiving feedback about performance
- * writing and communicating constructive performance evaluations
- * planning education and development opportunities to sustain, improve, or build on employee work performance

Performance Standards:

Written statements describing the criteria that define "unsatisfactory," "meets expectations," "exceeds expectations," or "outstanding."

Performance Evaluation:

The process of assessing, summarizing, and communicating with the employee about her/his work performance.

Customer:

The person who requests information/services from us (whether "in-house" or "out-of-house"). Co-workers and peers are thus viewed as customers in the same fashion as are outside patrons.

Supervisor (Rater):

A person who monitors performance for one or more staff members.

III. Philosophy and Guiding Principles

Philosophy:

The Colorado Historical Society's Performance Pay Program (CHS PPP) applies equally to both classified and non-classified staff. The PPP is based on standards of professional excellence, quality customer service, and dedication to the Society's mission, goals, and objectives. It encourages team cooperation and organizational commitment, and acknowledges positive attributes including helpfulness, responsibility, and timeliness. The PPP exemplifies mutual respect for Society staff and the public it serves.

Guiding Principles:

- * The CHS Performance Pay Program is dynamic rather than static; its components are subject to ongoing review and appropriate revision.
- * Successful performance management requires the total commitment of administration and staff to communicate effectively throughout the creation and implementation of the PPP.
- * Effective performance management includes appropriate resources devoted to its key components: training, annual planning, coaching and feedback, implementation, and evaluation. Integrating these components establishes expectations for supervisors and staff, and minimizes miscommunication.
- * Performance standards will be developed in collaboration with the employee, and must:
 - * be appropriate to the requirements of the job
 - * reflect the realities of the work context and conditions
 - * be understood by the employee and supervisor
 - * be accepted by the employee and supervisor
 - * reflect CHS philosophy
- * Accountability and responsibility for specific results must be clearly understood, and performance measures agreed upon by both supervisor and employee.
- * Compensation, rewards, and recognition will be linked to performance measures and standards.

The ultimate goal of the CHS Performance Pay Program is to encourage and facilitate peak performance.

IV. Performance Planning and Appraisal

A. *Performance Planning*

Both employee and supervisor will work together to formulate a personal performance plan which appropriately reflects CHS philosophy, the requirements of the employee's job, and the realities of the work context and conditions of her/his job. Accountability and responsibility for specific work results will be clearly communicated and understood by both supervisor and employee. Each year individual plans will cover the period April 1 to March 31 and must be completed by April 30. CHS will begin Performance Pay Program on 05/01/01. The first payout under PPP will be 7/1/02.

It is the responsibility of the Division Director to ensure that individual performance plans are in place and that the plans support unit work plans. It is the responsibility of supervisors to prepare plans with employees.

If an employee reports to two supervisors, it is the responsibility of the supervisors to jointly develop a plan for that employee, balancing the plan to the greatest extent possible. Changes in project assignments need to be reflected in the plan.

Each supervisor's performance plan should include the skills and behaviors needed to effectively perform that supervisor's role. All supervisors who fail to evaluate their employees are ineligible for any PPP award, and are subject to action under CRS 24-50-118.

B. *Coaching and Feedback*

Ongoing communication and informal feedback will be expected and done as needed. In addition to the final performance evaluation, supervisors and the employee will also meet formally at least once each year no later than October 31 to discuss and document performance. If an employee does not receive a final performance evaluation, a default rating of "meets expectations" shall be given until a final evaluation can be given.

Plans and/or evaluations will be performed by the supervisor, if not the supervisor, then the manager, if not the manager, then the director, if not the director, then the president.

Some opportunity must be given to the employee to provide input on his/her performance to the rater prior to the rating being given.

If an employee reports to two supervisors, it is the responsibility of the supervisors to jointly evaluate the performance plan for that employee, balancing the evaluation to the greatest extent possible.

It is the responsibility of the Division Director to ensure that individual performance evaluations are reviewed to determine if performance resulted in achievement of the Division's goals. The CHS President will review evaluations made by Division Directors.

C. Performance Appraisal

Performance appraisals will be written annually based on employee's job performance the previous year. Appraisals will be completed by April 30 of each year. Performance appraisal criteria are organized into three broad categories:

1. **Core value components:**
State uniform core competencies and measurements reflecting the CHS mission and philosophy that are part of every employee's performance plan. Teamwork is measured on individual performance plans as a CHS core value component and awards proportioned accordingly. Core value components cannot be disregarded in the final rating of each employee.
2. **Job-specific components:**
Measurements that are position-specific and that are developed jointly by the employee and supervisor.
3. **Time-specific components:**
Measurements that reflect demands of special, time-dependent, or short-term projects required of a specific employee.

V. Awards

With the approval of the Appointing Authority (President), each Division Director will determine how PPP dollars will be allocated within the Division in conformance to the following state and CHS Performance Pay Program guidelines:

Level 1: Needs Improvement (employee did not meet performance expectations) employees will not be eligible for any award. An employee with an unsatisfactory rating will be subject to a performance improvement plan or a corrective action.

Level 2: Employees who Meet Expectations (employee consistently met performance expectations) and are below pay range maximum may receive a monetary performance greater than Level 1. This award will be a base-building increase in salary up to, but not in excess of, the pay range maximum. Level 2 employees at pay range maximum are not eligible for any performance award.

Level 3: Employees who Exceed Expectations (employee often exceeded performance expectations) and are below pay range maximum may receive a monetary performance award greater than Level 2. This award will be a base building increase in salary up to, but not in excess of, the pay range maximum. Level 3 employees at pay range maximum are not eligible for any performance award.

Level 4: Outstanding (employee consistently exceeded performance expectations) employees below pay range maximum may receive a monetary performance award greater than

Level 3. This award may be a combination of a base building increase and/or a one-time bonus, but base building may not exceed the salary range maximum. The award will be an increase in salary up to the pay range maximum with any remaining award received as a one-time bonus. If the employee's salary is at the pay range maximum, the employee may receive only a one-time bonus. This one-time bonus may not exceed 10% or such percentage as is established by the State Personnel Director.

Level 2, 3 and 4 rated employees may receive a **non-monetary award** of up to three days personal leave. This leave may be received in addition to a monetary award. Only Level 4 rated employees may, at the sole discretion of the President, be granted a non-base building award that results in a dollar amount above the pay range maximum.

All monetary performance awards will be a percentage of the employee's salary effective on July 1 (which shall include any relevant salary survey increase) and be made to employees in their July paycheck: 1) Salary increases will begin in July; 2) One-time bonuses will be paid in full in July. Employees receiving an award in any given year will be personally notified of the kind and amount of the award before July 1 of that year. Only employees who are on the payroll effective July 1 of the fiscal year will be eligible for a PPP award. Employees who terminate prior to July 31 will receive any award due in full upon termination.

Quotas or forced distribution processes for determining the number of ratings in any of the four performance levels shall not be established.

Regardless of performance level, an employee cannot be granted an award or combination of awards greater than the set performance award maximum. All awards are subject to available funding and no award will be guaranteed.

VI. Training

Four hours of general CPP training was provided to all employees prior to 4/1/00, covering a range of subjects including the new pay system, dealing with change, writing goals and measures, performance planning, tracking and measuring performance, evaluation documents, the evaluation process, coaching and feedback, communication, the review process and compensation issues. In addition, supervisors and PPP committee members will receive additional specific training pertaining to performance management and other relevant topics. PPP committee members will also receive additional training in the dispute resolution process. All employees shall receive a copy of the Performance Pay Program. Supervisors are expected to go over the PPP with employees and also review the initial employee performance plan, which shall be written by the supervisor. New employees are expected to read the Performance Pay Program and discuss any questions with the supervisor. If more information is needed, employees may bring questions to the PPP Team or Human Resources Director. Within 30 days of hire, employees shall be required to sign a statement indicating that the PPP has been read and understood. (see Attachment D) Supervisors will focus on training and communication to encourage use of the variety of non-salary and monetary incentives currently available in the state personnel system to supplement salary-based performance awards.

VII. Dispute Resolution

Documentation describing the dispute resolution process is attached at the end of each individual performance plan document. This material includes a process timeline, and the CHS President is the Appointing Authority.

Under Performance Pay Program guidelines, the matters that can be reviewed under a dispute resolution process are as follows:

Reviewable Matters:

The individual performance plan, including lack of a plan during the performance cycle

The individual final performance evaluation or lack of a final evaluation

The application of the agency's performance management plan, policies, or processes to the individual employee's plan and/or final evaluation

Full payment of any award

Additional Considerations:

Only those issues originally presented in writing will be considered throughout the dispute resolution process

No party has an absolute right to legal representation, but may have an advisor present. The parties are expected to represent and speak for themselves. An advisor can help by explaining the process, identifying issues, preparing documents and attending meetings.

~~After completion of the internal review, the employee shall be given a written description of the external process that includes the following information.~~ Following the completion of the internal review, an employee may request in writing a review by the State Personnel Director for classified staff and the CHS President or designee for nonclassified staff for matters related to the application of the agency's plan or full payment of the award. This request must be made within five working days of the agency's final decision and must include a copy of the original issues and the agency's final decision. A neutral 3rd party will be selected by the State Personnel Director to make the decision in the case of classified staff reviews. A written decision is then issued within 30 days of receipt of the case; this decision is final and binding. The filing address for classified employees is:

State Personnel Director
ATTN: Appeals Processing
The Chancery Building
1120 Lincoln Street, Suite 1420
Denver, Colorado 80203

Nonclassified employees may file with the:
Human Resources Officer
Colorado Historical Society

1300 Broadway
Denver, Colorado 80203

The following issues are not disputable:

The content of the Society's performance pay program

Matters related to the funds appropriated

The performance evaluations and rewards of other employees

The amount of a performance reward, including whether it is base or non-base building, any combination or none (if relevant to new pay plan), unless the issue involves the application of the agency's performance pay program

Any interim rating

A three-member panel selected from the CHS PPP Team (see Attachment A) will hear all disputes. Panel shall include at least one Division Director, one member at the supervisory level, and one member at large, mutually agreed upon by employee and supervisor. Panel members will not be from the same division as employee. The dispute resolution process is an open, impartial process allowing the parties involved an opportunity to have all issues reviewed objectively.

A CHS PPP Team of 10 staff members who are trained in dispute resolution will serve a two-year term. The 10-member Team will select a "chair" whose responsibilities will include insuring that members are trained and that panel members are selected according to the process outlined herein. Team members will be selected from among staff members via lottery. This term of service will become a part of the yearly plan of work expectation for each employee selected to serve.

Process:

Prior to a dispute being filed, the employee and supervisor will meet in an attempt to resolve their differences. If the differences cannot be resolved at this level, the employee has three (3) working days from the date the plan or evaluation was signed or due to file* a "Notice of Intent to Dispute" form (including request for discretionary meeting) with the HR office.

*Regional staff may call the HR Officer, or if unavailable, the "chair," regarding his/her intent to dispute in order to meet the three working days deadline followed by the written form.

Upon receipt of the Notice in HR, a list of the Team members will be given to the parties involved. Prior to the selection of the panel, both the employee and the supervisor may each eliminate from the list up to two names. The three panel members who will review the dispute will then be drawn at random, as possible, from the remaining Team.

The employee has seven (7) working days after filing the Notice to file his/her written complaint. The complaint must state all the issues being disputed as only those issues contained in the original written complaint will be considered throughout the process. The complaint will be sent to the HR office, supervisor, Division Director, and/or the President.

The supervisor, Division Director and/or President have five (5) working days to file written comments. Copies will be sent to all concerned parties as noted in the above paragraph.

A meeting to review and discuss the issues with the parties involved is not mandatory and will be held at the discretion or request of either the employee or the supervisor. Upon request for a meeting and receipt of all written documents, the panel has three (3) working days to issue a Notice of Meeting to be held within ten (10) working days of receipt of the written documents.

The panel shall address only the facts surrounding the current action and has seven (7) working days after the meeting to present their written decision to the parties involved. The written decision shall be limited to instructing rater to follow CHS plan and processes, correct an error, reconsider a rating or plan, or suggest other resolution processes such as mediation, and is final, with no further recourse for resolution, except as noted below. The panel cannot render a decision that would alter the Society's performance pay program.

The classified employee may request a review by the State Personnel Director for matters related to the application of the agency's program to the individual's performance plan and/or final evaluation or full payment of the award if not satisfied with the internal decision. This request must be made within five (5) working days of the agency's final decision and must include a copy of the original issues and the agency's final decision.

Under no circumstances are any documents related to the dispute to be discussed, shared, or prepared by anyone not directly involved in the dispute. All communications, verbal and/or written are to be held in strict confidence by all parties. Staff assigned to serve on the panel and any advisors must sign a statement to this effect. Information sent through interdepartmental mail shall be sent in sealed envelopes and any copies sent via the U.S. postal service must be postmarked within the specified time frames.

Only those directly involved in the dispute (employee, supervisor, and HR office) shall retain copies of written documentation. All written information provided to panel members, advisor, Division Director, and President (unless they are either the employee or supervisor) shall be returned to the HR office for disposal at the completion of the dispute resolution process.

Upon mutual agreement of all parties, time frames may be extended up to a total of three (3) additional working days.

Retaliation against any person involved in the dispute resolution process is prohibited.

Working Days 1-3	Working Days 4-10	Working Days 11-15	Working Days 16-28	Working Days 29-35
Notice of Intent to Dispute filed	Employee files written complaint	Supervisor/Division Director/President File written comments	Panel sends discretionary meeting notice; meeting held	Final written decision

Attachment A

Implementation Team

CHS will establish a staff team to oversee the implementation of PPP at CHS and to serve as panel members in any dispute resolution activities.

Composition of the CHS PPP Team:

Ten CHS staff will serve on the CHS PPP Team. Of these, two will be Division Directors, three will be department heads and five will be members at large. The CHS Human Resources Officer will serve as an ex-officio member of the team. The team will annually select a chair from among its members.

Selection of the CHS PPP Team:

Appointment to the CHS PPP Team will be made by lottery. All names of permanent staff will be placed into containers by group (division directors, department heads, other staff) and the necessary number of names will be drawn. The term of service will be two years, with the exception being half of the first lottery draw. Five of the names selected in the initial lottery will serve a one-year term. Each year's rotation will include at least one division director and one department head.

Responsibilities of the CHS PPP Team:

- * Develop procedural guidelines to assure that training, communication and feedback occur within the CHS PPP year and future years.
- * Review PPP Year. Make recommendations to Division Directors for changes to PPP and submit to Department of Personnel for review. Revise procedures and guidelines as necessary. Provide ongoing evaluation during the year.
- * Oversee the Dispute Resolution Process and serve as panelists for formal hearings as per guidelines in PPP.
- * Meet on periodic basis with CHS President to review and evaluate work of the Team.

Reporting:

The Human Resources Officer will enter into EMPL all awards given, keep records related to PPP, monitor evaluation compliance by supervisors and division directors. HR Officer will report to CHS President in cases of non-compliance. Each year a report will be prepared by the Chief Financial Officer and HR and submitted to the Department of Personnel by June 1 or such deadline as shall be established by Personnel. This report will include information on total dollars awarded to employees for each rating level, the amount of dollars appropriated for performance awards for the prior fiscal year and the total amount of appropriated dollars awarded for performance awards, along with any other information required by the State Personnel Director.

Attachment B

CHS Performance Management Matrix

ISSUE	STATE RULES	CHS POLICY	DIVISION DISCRETION
<i>Performance Evaluation Rating</i>	Performance will be rated based on four levels, with the first level indicating unsatisfactory performance. Performance awards will be based on employee's performance ratings..	The 4 levels for performance evaluation are: Unsatisfactory, Meets Expectations, Exceeds Expectations, and Outstanding.	
<i>Needs Improvement Rating</i>	No performance award for employees receiving a needs improvement rating; Requires that a formal performance improvement plan, which is not a corrective action or a corrective action, be given to the employee at the same time.	Formal improvement plans must be included in the new Performance plan with mandatory review every 60 days until the performance improvement goal is reached or corrective or disciplinary action is initiated.	
<i>Meets Expectations Rating</i>	May receive monetary performance award greater than Level 1. May be any combination of base building or non-base building; May not exceed the pay range maximum.	All awards will be base building until pay range maximum is achieved.	
<i>Exceeds Expectations Rating</i>	May receive monetary performance award greater than Level 2. May be any combination of base building or non-base building; May not exceed the pay range maximum.	All awards will be base building until pay range maximum is achieved.	
<i>Outstanding Rating</i>	Below pay range maximum may receive monetary performance award, greater than Level 3, not to exceed the pay range maximum; May be any combination of base building and non-base building, with base building not to exceed pay range maximum.	All awards will be base building until pay range maximum is achieved. After Pay range maximum is achieved, awards will be in the form of one-time bonuses.	
<i>Notification of Award</i>	Employees must be informed of the amount of the award, and whether base building or non-base building.		Individuals receiving an award must be privately notified by July 1 of each year.

ISSUE	STATE RULES	CHS POLICY	DIVISION DISCRETION
<i>Monetary Performance Awards Below Pay Range Maximum</i>	Level 2 through Level 4 performers are eligible for base building, non-base building, or combination of performance awards.	All awards will be base building until pay range maximum is achieved. No base building award will be granted that results in a base salary above the pay range maximum.	
<i>Monetary Performance Awards at or Above Pay Range Maximum</i>	Must be non-base building Must be re-earned annually Only available to Outstanding Performers		
<i>Non-Monetary Awards</i>	Non-monetary awards may be given in combination with monetary awards. Non-monetary awards are not calculated in the total award amounts.	Non-monetary awards shall consist of personal leave of up to three days per year.	
<i>New Hires</i>	A new hire's base pay hiring rate cannot exceed a pay range maximum. A non-base building signing bonus may also be awarded.	The President must authorize the hiring of an employee at a salary above the advertised salary level.	Division Director makes recommendation via memorandum to the President, and documents justification for hiring the individual at a salary above the traditional salary level up to the pay range maximum.
<i>Pay Range Maximums</i>	Pay range maximums for classified employees will be determined through the annual salary survey process, will be published in the annual Total Compensation Report and are subject to the annual survey audit by the State Auditor's Office.	Pay range maximums for non-classified employees shall be at the same level within the pay range as are the classified employees. Pay ranges will be published and posted annually.	
<i>Pay Ranges</i>	Pay ranges for occupational groups will be determined through the annual survey process, will be published in the Total Compensation Report and are subject to the annual survey audit by the State Auditor's Office.	Pay ranges for non-classified employees shall be determined by the Board of Directors and shall be published and posted annually.	

ISSUE	STATE RULES	CHS POLICY	DIVISION DISCRETION
<i>Individual Performance planning</i>	<p>A planning between supervisor and employee shall occur at the beginning of the performance cycle.</p> <p>If a supervisor fails to plan and/or evaluate an employee's job performance, a reviewer is responsible for completing the plan and/or evaluation. If the reviewer fails to plan and/or evaluate in a timely manner, the reviewer's supervisor is responsible for completing the plan and/or evaluation and on up the chain of command until the plan and/or rating is completed as required by law.</p>	<p>It is the responsibility of the Division Director to ensure that individual performance plans are in place and that the plans support unit work plans. It is the responsibility of supervisors to prepare plans with employees.</p> <p>Individual plans will cover the period from April 1 to March 31 and must be completed by April 30.</p> <p>If an employee reports to two supervisors, it is the responsibility of the supervisors to jointly develop a plan for that employee, balancing the plan to the greatest extent possible. Changes in project assignments need to be reflected in the plan.</p>	<p>Supervisors are expected to involve employees in the planning process to the greatest extent possible.</p> <p>Where possible, objective and/or subjective performance measures should be identified for each performance goal.</p>
<i>Individual Performance Feedback</i>		<p>In addition to the year-end review, the supervisor must meet with the employee no less than once during the course of the year to review performance, coach and obtain feedback. This meeting should be held no later than October 31 and documented for the personnel file.</p>	
<i>Individual Performance Evaluation</i>	<p>If a supervisor fails to plan and/or evaluate an employee's job performance, a reviewer is responsible for completing the plan and/or evaluation. If the reviewer fails to plan and/or evaluate in a timely manner, the reviewer's supervisor is responsible for completing the plan and/or evaluation and on up the chain of command until the plan and/or rating is completed as required by law.</p> <p>If an employee does not receive a final performance evaluation, a default rating of "meets expectations" shall be given until a final rating can be given. An employee can dispute the employee's final evaluation or the lack of a final evaluation and, if a final rating is not given during the internal dispute resolution process, the employee may take the issue to the external stage.</p> <p>If an employee changes positions during the performance cycle, an interim rating must be completed and forwarded to the new appointing authority or agency.</p>	<p>Plans and/or evaluations will be performed by the supervisor, if not the supervisor, then the manager, if not the manager, then the director, if not the director, then the president.</p> <p>Some opportunity must be given to the employee to provide input on his/her performance to the rater prior to the rating being given.</p> <p>Completed written evaluations are due to the CHS Human Resources office by April 30 each year.</p> <p>If an employee reports to two supervisors, it is the responsibility of the supervisors to jointly evaluate the performance plan for that employee, balancing the evaluation to the greatest extent possible.</p>	<p>Feedback from customers, coworkers, and the employee him-/herself may be used to increase the data used by supervisors to evaluate performance.</p>

ISSUE	STATE RULES	CHS POLICY	DIVISION DISCRETION
<i>Supervisor's Role</i>	<p>Classified supervisors who fail to evaluate or establish performance plans for their employees are ineligible for any PPP award, and are subject to action under the State Personnel Director's procedures.</p> <p>All supervisors shall be evaluated on the effectiveness of performance management of their employees.</p> <p>Performance management training is mandatory for all raters.</p> <p>All supervisors who fail to evaluate their employees are ineligible for any PPP award, and are subject to action under CRS 24-50-118.</p>	Each supervisor's performance plan (classified and nonclassified) should include the skills and behaviors needed to effectively perform that supervisor's role.	
<i>Individual Performance Evaluation Review</i>	The rater's evaluation of an employee must be signed by a reviewer. A review of the rating must occur.	It is the responsibility of the Division Director to ensure that individual performance evaluations are reviewed to determine if performance resulted in achievement of the Division's goals. The CHS President will review evaluations made by Division Directors.	
<i>Agency Review Process</i>	The agency will monitor the quality and consistency of performance ratings within the department before final overall ratings are provided to employees.	CHS President/Division Directors must ensure that individual performance evaluations are reviewed for consistency and fairness among raters prior to issuing the final rating to the employee.	
<i>Planning and Evaluation Tools</i>		The Performance plan and Evaluation form are the required CHS forms for individual performance planning and evaluation.	
<i>Phase-in</i>		<p>CHS will begin Performance Pay Program on 05/01/01.</p> <p>The first payout under PPP will be 7/1/02.</p>	
<i>Salary Survey Adjustments</i>	<p>Employees whose base wages are at the traditional maximum of a pay range or below the traditional maximum of a pay range are eligible for full salary survey adjustments to their base pay.</p> <p>Employees above the traditional maximum of a pay range are not eligible for salary survey adjustments.</p>		

ISSUE	STATE RULES	CHS POLICY	DIVISION DISCRETION
<p>Saved Pay <i>CLASSIFIED</i> <i>Employees</i> <i>Only</i></p>	<p>Employees whose base pay is above the traditional maximum of a pay range shall have their base salary adjusted to the traditional maximum of a pay range after three years.</p> <p>Reevaluation of the ongoing saved pay policy will occur after Performance Pay Program implementation is completed.</p>	<p>CHS will follow state policy regarding saved pay.</p>	
<p><i>Transfers/</i> <i>Lateral</i> <i>Moves</i></p>	<p>Classified employees transferring may receive a base building increase not to exceed pay range maximum and a one-time non-base building lateral award.</p>	<p>Both classified and nonclassified transfers within the Society and classified transfers into the Society will continue to be on a dollar for dollar basis.</p>	
<p><i>Promotions/</i> <i>Upward</i> <i>Movement</i></p>	<p>On promotions employees may receive an increase from 0% to pay range maximum. They may also be given a non-base building promotional award above the pay range maximum which cannot go beyond the end of the year.</p>	<p>Employees who receive promotions shall receive an increase of 11% or the minimum salary of the new class, whichever is greater or;</p> <p>If the individual's current salary is equal to or greater than the pay range maximum of the new job class, the individual being promoted will receive no additional salary or; if the individual's current salary is less than 11% below the pay range maximum of the new job class, the individual will only receive the increase required to reach pay range maximum.</p>	

ISSUE	STATE RULES	CHS POLICY	DIVISION DISCRETION
<p><i>Performance Pay System Dispute Resolution Process</i></p>	<p>Dispute resolution process must be established within agencies with the stipulation of an objective party review.</p> <p>Process is not a dispute or an appeal.</p> <p>No party has an absolute right to legal representation, but may have an advisor present. The parties are expected to represent and speak for themselves.</p> <p>The decision-maker may not substitute judgment for the supervisor.</p> <p>Only the following matters are disputable:</p> <p>The individual final performance evaluation or lack of a final evaluation;</p> <p>The individual performance plan or lack of a plan;</p> <p>The application of an agency's performance management plan, policies, or processes to the individual employee's plan and/or final evaluation;</p> <p>Full payment of a promised award.</p> <p>All of the above must be processed by the internal process established by the agency.</p> <p>Only the last two matters may go forward for consideration by the State Personnel Director by classified employees if not resolved at the agency level.</p> <p>The following issues are not disputable:</p> <p>The content of the Society's performance pay program</p> <p>Matters related to the funds appropriated</p> <p>The performance evaluations and rewards of other employees</p> <p>The amount of a performance reward, including whether it is base or non-base building, any combination or none (if relevant to new pay plan), unless the issue involves the application of the agency's performance pay program</p> <p>Any interim rating.</p> <p>A neutral 3rd party is selected by the state personnel director to make the decision in the external process.</p> <p>A written decision is issued within thirty (30) days of receipt from the State Personnel Director and the decision is final and binding.</p>	<p>CHS review process uses a panel of three trained staff persons to mediate disputes. If the dispute can be resolved by the parties, the reviewer records their agreement. The panel may also make recommendations to be considered by the appointing authority.</p> <p>See Section VII for the complete Dispute Resolution Process.</p> <p>An employee wishing to initiate the Performance Review Process may at the same time pursue an informal process within the Division to resolve the dispute. The initiation of any informal process will not alter any time requirements within the formal Performance Review Process, so employees are encouraged to comply with the formal procedures while trying any informal process. Should the informal process result in an acceptable outcome, the formal Performance Review Process may be discontinued.</p>	

Attachment C

NOTICE OF INTENT TO DISPUTE **PPP Evaluation or Plan**

I, _____ hereby give notice that I intend to dispute the following:

(check all that apply; provide a summary of the reason(s) for the dispute in the space provided)

- ☐ My individual performance plan, including lack of a plan during the planning cycle.
- ☐ My individual final performance evaluation, including lack of a final evaluation.
- ☐ The application of the Society's performance management plan, policies, or processes to my individual plan and/or final evaluation.
- ☐ Full payment of the award.

Signed: _____
Employee Date

Brief summary of the reason for the dispute:

I request that a meeting be held to resolve this dispute _____ YES _____ NO

Submit original to the Human Resources Office.

cc: Supervisor
Division Director

ATTACHMENT D

COLORADO HISTORICAL SOCIETY PERFORMANCE PAY PROGRAM

UNDERSTANDING

You have 30 days from date of hire to review and return this original form to the Human Resources Office. After review, if you have questions, please contact your supervisor or the Human Resources Officer.

This is to certify that I have been given a copy, read, and understand the content of the Colorado Historical Society Performance Pay Program (CHS PPP). I also understand that this information is on the Colorado Historical Society Web page, www.coloradohistory.org.

Employee Name (print) _____ Date of Hire: _____

Supervisor's Signature _____ Date _____

Employee Signature _____ Date _____

Attachment E

Planning and Appraisal Tool

IDENTIFICATION

Name: _____ Class Title: _____

Social Security Number: _____ Position Number: _____

Appraisal Period From _____ To _____ **Annual** **Interim** (Circle One)

PLANNING SECTION

The employee has been provided a Performance Plan

Supervisor Signature Date

I, _____, _____ Agree _____ Disagree _____
Employee Signature with the Performance Plan. Date

Employees have the right to request a review if they disagree with this plan. See Section VII of the CHS PPP Plan for Process.

PROGRESS REVIEW

Date Supervisor Initials Employee Initials

EVALUATION SECTION

The Overall Performance Rating for the entire period was:

_____ Unsatisfactory _____ Meets Expectations _____ Exceeds Expectations _____ Outstanding

Supervisor Signature Date Position Number

Reviewer Signature Date

I, _____, _____ Agree _____ Disagree _____
Employee Signature with the Performance Appraisal. Date

Employees have the right to request a review if they disagree with this appraisal. See Section VII of the CHS PPP Plan for Process.

Performance appraisal is based on the employee's effectiveness and contributions to the achievement of the mission of the Society and of the scope outlined in the employee's Performance Plan for the appraisal period noted above. Effectiveness is rated using one of the following four performance categories:

Level 4	Outstanding:	Employee consistently exceeded performance expectations
Level 3	Exceeds Expectations	Employee often exceeded performance expectations
Level 2	Meets Expectations	Employee consistently met performance expectations
Level 1	Needs Improvement	Employee did not meet performance expectations

Core Value Components

Measurements reflecting CHS' mission and philosophy that are part of every employee's performance plan.

The following Core Values are an important part of the performance appraisal of all CHS staff. Each staff person will be evaluated as Unsatisfactory or Meets Expectations in these Core Value areas. In addition, State uniform core competencies are noted in parenthesis after the CHS core Value Components. Any staff person receiving an Unsatisfactory in any of the Core Values will not be eligible for overall Outstanding rating. Exceeds Expectations and Outstanding ratings will not be given for the Core Value section of the appraisals. Measurable Outstanding standards will be incorporated into the larger individual, job-related performance plan developed by the staff person with his/her supervisor.

1. Professionalism (Accountability)

Demonstrates a positive, professional demeanor by:

- ❖ Conveying a positive/professional image of the Society
- ❖ Maintaining currency on changes, updates and improvements in his/her professional field and applying generally accepted professional standards to performance of job, as applicable
- ❖ Conducting interpersonal relationships with respect and courtesy
- ❖ Adhering to CHS and State policies and procedures

Performance Level

Needs Improvement

Meets Expectations

Comments:

2. Communication (Same)

Demonstrates good communication skills by:

- ❖ Being accessible, helpful, and responsive to the needs, questions, or concerns of others
- ❖ Providing information promptly, thoroughly, and courteously
- ❖ Seeking assistance from others at appropriate times
- ❖ Keeping coworkers in formed of activities

Performance Level

Needs Improvement

Meets Expectations

Comments:

3. Teamwork (Interpersonal Skills)

Demonstrates ability to work as a member of a team by:

- ❖ Being flexible when circumstances require modifying schedule, time frames, or tasks
- ❖ Coordinating and communicating with others to fulfill requirements of job tasks, projects, or special requests
- ❖ Seeking and considering input from others as needed for set priorities, schedules, or deadlines
- ❖ Demonstrating commitment to the Society's goals and objectives by working cooperatively to develop plans, objectives and procedures
- ❖ Supporting team members in their efforts
- ❖ Acknowledging contributions of others
- ❖ Contributing to the good morale of the team

Performance Level

Needs Improvement

Meets Expectations

Comments:

4. Problem Solving

Demonstrates ability to solve problems by:

- ❖ Identifying real or potential problems and offering solutions to those problems
- ❖ Seeking input from others when appropriate and referring decision making to appropriate level

Performance Level

Needs Improvement

Meets Expectations

Comments:

5. Customer Service (Same)

Demonstrates effective customer service by:

- ❖ Providing timely service to all customers
- ❖ Identifying and meeting customer needs
- ❖ Conveying a positive, helpful attitude
- ❖ Paying attention to the customer being served

Performance Level

Needs Improvement

Meets Expectations

Comments:

Job-specific components (Job Knowledge)

Measurements that are position-specific and that are developed jointly by the employee and supervisor.

Performance Level

Needs Improvement

Meets Expectations

Exceeds Expectations

Outstanding

Comments:

Time-specific components (Job Knowledge)

Measurements that reflect demands of special, time-dependent, or short-term projects required of a specific employee.

Performance Level

Needs Improvement

Meets Expectations

Exceeds Expectations

Outstanding

Comments:

Overall Rating

Needs Improvement

Meets Expectations

Exceeds Expectations

Outstanding

Supervisor's Comments:

- ❖ Written justification must be included for all performance levels.
- ❖ A "Needs Improvement" rating requires submission of a Formal Improvement plan to be included with the new Performance plan.

Employee's Comments:

Dispute Resolution

Documentation describing the dispute resolution process is attached at the end of each individual performance plan document. This material includes a process timeline, and the CHS President is the Appointing Authority.

Under Performance Pay Program guidelines, the matters that can be reviewed under a dispute resolution process are as follows:

Reviewable Matters:

- _____ The individual performance plan, including lack of a plan during the performance cycle
- _____ The individual performance evaluation or lack of a final evaluation

The application of the agency's performance management plan, policies, or processes to the individual employee's plan and/or evaluation

- _____ Full payment of any award

Additional Considerations:

_____ Only those issues originally presented in writing will be considered throughout the dispute resolution process

_____ No party has an absolute right to legal representation, but may have an advisor present. The parties are expected to represent and speak for themselves. An advisor can help by explaining the process, identifying issues, preparing documents and attending meetings.

_____ After completion of the internal review, an employee may request in writing a review by the State Personnel Director for classified staff and the CHS President or designee for nonclassified staff for matters related to the application of the agency's plan or full payment of the award. This request must be made within five working days of the agency's final decision and must include a copy of the original issues and the agency's final decision. A neutral 3rd party will be selected by the State Personnel Director to make the decision in the case of classified reviews. A written decision is then issued within 30 days of receipt of the case; this decision is final and binding. The filing address for classified employees is:

- _____ State Personnel Director
- _____ ATTN: Appeals Processing
- _____ The Chancery Building
- _____ 1120 Lincoln Street, Suite 1420
- _____ Denver, Colorado 80203

Nonclassified employees may file with the:

- _____ Human Resources Officer
- _____ Colorado Historical Society
- _____ 1300 Broadway
- _____ Denver, Colorado 80203

The following issues are not disputable:

~~———The content of the Society's performance pay program~~

~~———Matters related to the funds appropriated~~

~~———The performance evaluations and rewards of other employees~~

~~The amount of a performance reward, including whether it is base or non-base building, any combination or none (if relevant to new pay plan), unless the issue involves the application of the agency's performance pay program~~

~~Any interim rating~~

~~A three-member panel selected from the CHS PPP Team (see Attachment A) will hear all disputes. Panel shall include at least one division director, one member at the supervisory level, and one member at large, mutually agreed upon by employee and supervisor. Panel members will not be from the same division as employee. The dispute resolution process is an open, impartial process allowing the parties involved an opportunity to have all issues reviewed objectively.~~

~~A CHS PPP Team of 10 staff members who are trained in dispute resolution will serve a two-year term. The 10-member Team will select a "chair" whose responsibilities will include insuring that members are trained and that panel members are selected according to the process outlined herein. Team members will be selected from among staff members via lottery. This term of service will become a part of the yearly plan of work expectation for each employee selected to serve.~~

~~Process:~~

~~Prior to a dispute being filed, the employee and supervisor will meet in an attempt to resolve their differences. If the differences cannot be resolved at this level, the employee has three (3) working days from the date the plan or evaluation was signed or due to file* a "Notice of Intent to Dispute" form (including request for discretionary meeting) with the HR office.~~

~~*Regional staff may call the HR Officer, or if unavailable, the "chair," regarding his/her intent to dispute in order to meet the three working days deadline followed by the written form.~~

~~Upon receipt of the Notice in HR, a list of the Team members will be given to the parties involved. Prior to the selection of the panel, both the employee and the supervisor may each eliminate from the list up to two names. The three panel members who will review the dispute will then be drawn at random, as possible, from the remaining Team.~~

~~The employee has seven (7) working days after filing the Notice to file his/her written complaint. The complaint must state all the issues being disputed as only those issues contained in the original written complaint will be considered throughout the process. The complaint will be sent to the HR office, supervisor, Division Director, and/or the President.~~

~~The supervisor, Division Director and/or President have five (5) working days to file written comments. Copies will be sent to all concerned parties as noted in the above paragraph.~~

~~A meeting to review and discuss the issues with the parties involved is not mandatory and will be held at the discretion or request of either the employee or the supervisor. Upon request for a meeting and receipt of all written documents, the panel has three (3) working days to issue a Notice of Meeting to be held~~

~~within ten (10) working days of receipt of the written documents.~~

~~The panel shall address only the facts surrounding the current action and has seven (7) working days after the meeting to present their written decision to the parties involved. The written decision shall be limited to instructing rater to follow CHS plan and processes, correct an error, reconsider a rating or plan, or suggest other resolution processes such as mediation, and is final, with no further recourse for resolution, except as noted below. The panel cannot render a decision that would alter the Society's performance pay program.~~

~~The classified employee may request a review by the State Personnel Director for matters related to the application of the agency's plan or full payment of the award if not satisfied with the internal decision. This request must be made within five (5) working days of the agency's final decision and must include a copy of the original issues and the agency's final decision.~~

~~Under no circumstances are any documents related to the dispute to be discussed, shared, or prepared by anyone not directly involved in the dispute. All communications, verbal and/or written are to be held in strict confidence by all parties. Staff assigned to serve on the panel and any advisors must sign a statement to this effect. Information sent through interdepartmental mail shall be sent in sealed envelopes and any copies sent via the U.S. postal service must be postmarked within the specified time frames.~~

~~Only those directly involved in the dispute (employee, supervisor, and HR office) shall retain copies of written documentation. All written information provided to panel members, advisor, Division Director, and President (unless they are either the employee or supervisor) shall be returned to the HR office for disposal at the completion of the dispute resolution process.~~

~~Upon mutual agreement of all parties, time frames may be extended up to a total of three (3) additional working days.~~

~~Retaliation against any person involved in the dispute resolution process is prohibited.~~

Working Days 1-3	Working Days 4-10	Working Days 11-15	Working Days 16-28	Working Days 29-35
Notice of Intent to Dispute filed	Employee files written complaint	Supervisor/Division Director/President file written comments	Panel sends discretionary meeting notice; meeting held	Final written decision

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